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PTO/SB/21 (09-04)

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

10

Application Number

10/052,466

Filing Date

January 23, 2002

First Named Inventor

Ming-Kwei, LEE

Art Unit

2811

Examiner Name

Owens, Douglas W.

Attorney Docket Number

70434.00024

### ENCLOSURES (Check all that apply)

☐

Fee Transmittal Form

☐

Fee Attached

☐

Amendment/Reply

☐

After Final

☐

Affidavits/declaration(s)

☐

Extension of Time Request

☐

Express Abandonment Request

☐

Information Disclosure Statement

☐

Certified Copy of Priority Document(s)

☐

Reply to Missing Parts/  
Incomplete Application

☐

Reply to Missing Parts  
under 37 CFR 1.52 or 1.53

☐

Drawing(s)

☐

Licensing-related Papers

☐

Petition

☐

Petition to Convert to a  
Provisional Application

☐

Power of Attorney, Revocation  
Change of Correspondence Address

☐

Terminal Disclaimer

☐

Request for Refund

☐

CD, Number of CD(s) \_\_\_\_\_

☐ Landscape Table on CD

☐

After Allowance Communication to TC

☐

Appeal Communication to Board  
of Appeals and Interferences

☐

Appeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)

☐

Proprietary Information

☐

Status Letter

☒

Other Enclosure(s) (please identify  
below):

Status Inquiry (Re: Certificate of Correction  
See Remarks Below)

#### Remarks

Copy of Date Stamped Postcard on March 29, 2006 from USPTO;  
Copy of Petition Under 37 CFR §3.81(b) To Add Assignee filed March 29, 2006  
Copy of Communication From USPTO Re: Request for Certificate of Correction  
Copy of Notice of Recordation of Assignment Document along w/Assignment  
dated 3/27/02

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

**Certificate**

Firm Name

Dickinson Wright PLLC

Signature

Printed name

John M. Naber

Date

December 5, 2006

Reg. No.

46,487

DEC 07 2006

**of Correction**

### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

Typed or printed name

Date

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Attorney Docket No.: 70434.00024  
Customer No.: 35161

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant : Ming-Kwei, LEE  
U.S. Patent No. : 6,858,873  
Issued : February 22, 2005  
U.S. Patent Application Serial No. : 10/052,466 Filed: January 23, 2002  
Examiner : Owens, Douglas W.  
Docket No. : 70434.00024  
Confirmation No. : 6427  
Title : Semiconductor Diode Having A Semiconductor Die  
With A Substrate and Multiple Films Applied  
Thereover


**STATUS INQUIRY**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Please advise when an Certificate of Correction may be expected in the above-identified patent application.

Respectfully submitted,

  
John M. Naber  
Registration No. 46,487

DICKINSON WRIGHT PLLC  
1901 L St., N.W.  
Suite 800  
Washington, D.C. 20036  
Telephone: 202/659-6950  
Facsimile: 202/659-1559  
Date: **December 5, 2006**



# COPY

Applicant: Ming-Kwei, LEE	Docket No.: 70434.00024
U.S. Patent No. 6,858,873	Filing Date: January 23, 2002
U.S. Patent Serial No.: 10/052,466	

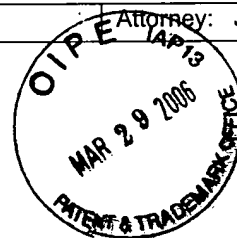
Title: "SEMICONDUCTOR DIODE HAVING A SEMICONDUCTOR DIE WITH A SUBSTRATE AND MULTIPLE FILMS APPLIED THEREOVER"

Please acknowledge receipt of:

1. Petition Under 37 C.F.R. §3.81(b) To Add Assignee (*Induplicate*)
2. Copy of Notice issued by U.S. Patent and Trademark Office on February 22, 2005
3. Copy of Notice of Recordation of Assignment Document
4. Fee of \$230.00 to be charged to Deposit Account No. 04-1061

Date: March 29, 2006

Attorney: JMN/adb



**COPY**

Attorney Docket No.: 70434.00024  
Customer No.: 35161

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:

Ming-Kwei LEE

Group Art Unit: 2811

Application No.: 10/052,466

Examiner: Owens, Douglas W.

Patent Number: 6,858,873

Confirmation No.: 6427

Issued: February 22, 2005

Filed: January 23, 2002

For: Semiconductor Diode Having A Semiconductor Die With A Substrate and Multiple  
Films Applied Thereover

**PETITION UNDER 37 C.F.R. §3.81(b) TO ADD ASSIGNEE**

**MAIL STOP: PETITIONS**

Customer Service Window  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22314

Sir:

Reviewing the above-identified patent, an error was discovered therein, requiring correction in order to conform it to the official record in the application.

The correction to the error noted is set forth in the attached form issued by the U.S. Patent and Trademark Office February 22, 2005 and a copy of the Notice of Recordation of Assignment Document reflecting the reel and frame number where the assignment is recorded and/or reflecting proof of the date the assignment was submitted for recordation.

Accordingly, patentee respectfully request that a Certificate of Correction be issued for the reference patent, and if the Office deems it appropriate, issuance of a Letters Patent.

Petition Under 37 C.F.R. §3.81(b)  
U.S. Patent 6,858,873

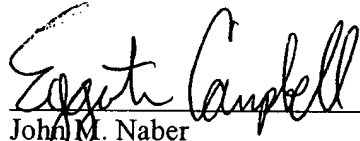
Atty Dkt. No.: 70434.00024  
Customer No. 35161

Since the error is our mistake. In particular, we inadvertently failed to include the correct Assignee name on the PTOL-85B form on January 23, 2002, therefore please charge our Deposit Account No. 04-1061 the processing fee set forth in 37 C.F.R. §1.117(h) of \$130.00 and the Request for Certificate of Correction fee under C.F.R. §1.323 of \$100.00.

However, if this is found to the contrary, please charge any shortage in fees in connection with the filing of this paper, including extension of times fees, to Deposit Account No. 04-0160 and please credit any excess fees to such account.

Respectfully submitted,

DICKINSON WRIGHT PLLC

 51,307  
for John M. Naber  
Registration No. 46,487

DICKINSON WRIGHT PLLC  
1901 L St., N.W.  
Suite 800  
Washington, D.C. 20036  
Telephone: 202/659-6950  
Facsimile: 202/659-1559  
Date: **March 29, 2006**



UNITED STATES PATENT AND TRADEMARK OFFICE



Commissioner for Patents  
United States Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450  
www.uspto.gov

SMN  
3/8/06

COPY

Patent No. : 6,858,873 B2  
Ser. No. : 10/052,466  
Inventor(s) : Lee  
Issued : February 22, 2005  
Title : SEMICONDUCTOR DIODE HAVING A  
SEMICONDUCTOR DIE WITH A  
SUBSTRATE AND MULTIPLE FILMS  
APPLIED THEREOVER

Docketed

RECEIVED  
MAR 10 2006  
70434-24  
DICKINSON WRIGHT

Re: Request for Certificate of Correction

Consideration has been given your request for the issuance of a certificate of correction for the above-identified patent under the provisions of Rule(s) 1.322 and/or 1.323.

Assignees' names and addresses (assignment data) printed in a patent, are based *solely* on information supplied in the appropriate space for identifying the assignment data, i.e., item 3 of the Issue Fee Transmittal Form PTOL-85B. Granting of a request under 37 CFR 3.81(b) is required to correct applicant's error providing incorrect or erroneous assignment data, *before* issuance of a Certificate of Correction, under 37 CFR 1.323 (*see Manual of Patent Examining Procedures (M.P.E.P) Chp.1400, sect. 1481*). This procedure is required *at any time after the issue fee is paid*, including after issuance of the patent.

In view of the foregoing, your request is hereby denied.

A request to correct the Assignee under 37 CFR 3.81(b) should include:

- A. the processing fee set forth in 37 CFR 1.117(h) (currently \$130);
- B. a statement that the failure to include the correct assignee name on the PTOL-85B was inadvertent; and
- C. a copy of the Notice of Recordation of Assignment Document, reflecting the reel and frame number where the assignment(s) is recorded and/or reflecting proof of the date the assignment was submitted for recordation.

*In the Request*, Applicant(s) may request that the file be forwarded to Certificates of Correction Branch, for issuance of a Certificate of Correction, if the Request is granted.

Any request under 37 CFR 3.81(b) should be directed to the following address or facsimile number:

By mail: Mail Stop PETITIONS  
Commissioner for Patents  
Post Office Box 1450  
Alexandria, VA 22313-1450

By hand: Customer Service Window  
Mail Stop Petitions  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22314

By fax: (703) 872-9306  
ATTN: Office of Petitions

If a fee (currently \$100) was previously submitted for consideration of a Request for Certificate of Correction, under CFR 1.323, to correct assignment data, no additional fee is required.

Valerie Jackson  
For Cecelia Newman  
Decisions & Certificates  
of Correction Branch  
(703) 308-9390 ext. 114

Dickinson Wright P.L.L.C  
1901 L St., N.W.  
Suite 800  
Washington, D.C. 20036

vj/CBN



MARCH 27, 2002

PTAS

**COPY**

Chief Information Officer  
Washington, DC 20231  
www.uspto.gov

DICKINSON WRIGHT PLLC  
J. JOHN SHIMAZAKI  
1901 L ST., N.W., SUITE 800  
WASHINGTON, D.C. 20036



\*101970329A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDED DATE: 01/23/2002

REEL/FRAME: 012523/0305  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

LEE, MING-KWEI

DOC DATE: 01/04/2002

ASSIGNEE:

CHIA TA WORLD CO., LTD.  
NO. 16, LANE 317, CHUNG-SHAN N.  
RD.  
YUNG-KANG CITY, TAINAN HSIEN,  
TAIWAN

SERIAL NUMBER: 10052466  
PATENT NUMBER:

FILING DATE: 01/23/2002  
ISSUE DATE:

PAULA MCCRAY, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



02-04-2002

U.S. Department of Commerce  
Patent and Trademark Office

PATENT



101970329

Original document(s) or copy(ies).

TO: The Commissioner of Patents and T

## Submission Type

- ☒ New  
☐ Resubmission (Non-Recordation)  
 Document ID #  
☐ Correction of PTO Error  
 Reel #                      Frame #  
☐ Corrective Document  
 Reel #                      Frame #

- ☒ Assignment  
☐ License  
☐ Merger  
☐ Security Agreement  
☐ Change of Name  
☐ Other:

01/23/02

## Conveying Party(ies)

1. Ming-Kwei LEE
- 2.
- 3.
- 4.
- 5.
- 6.

## Execution Date(s)

January 4, 2002

☐ Mark if Additional Names of Conveying Parties Attached

## Receiving Party

Name CHIA TA WORLD CO., LTD.

Address No. 16, Lane 317, Chung-Shan N. Rd.

Yung-Kang City  
CityTainan Hsien, TAIWAN  
State/Country

Zip Code

01/28/2002 SZEWDIE1 00000018 10052466

02 FC:581

40.00 GP

☐ Mark if Additional Names of Receiving Parties Attached

## Correspondent Name and Address

J. John Shimazaki  
 DICKINSON WRIGHT PLLC  
 1901 L St., N.W. Suite 800  
 Washington, D.C. 20036

Telephone: (202) 457-0160  
 Facsimile: (202) 659-1559  
 Attorney Docket No. 70434-0024

Pages Enter the total number of pages of the attached conveyance document including any attachments: 2

## Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

## Patent Application Numbers

## Patent Numbers

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

## Patent Cooperation Treaty (PCT)

Enter PCT application number only if a U.S. Application Number has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

## Number of Properties

Enter the total number of properties involved: 1

## Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): 40.00

Method of Payment:

- ☒ Enclosed is a check in the amount of 40.00  
☐ Charge Deposit Account No. 04-1061

Authorization to Charge Additional Fees to Deposit Account No. 04-1061: ☒ Yes ☐ No

## Statement and Signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

J. John Shimazaki Reg. No. 37,236

Name of Person Signing

Signature

January 23, 2002

Date

## ASSIGNMENT DEED

This assignment agreement is applicable to an invention entitled (Invention Title) \_\_\_\_\_

SEMICONDUCTOR DIODE AND METHOD FOR MANUFACTURING THE SAME

The PATENT RIGHTS referred to in this agreement are:

- (check one) ☒ a patent application for this invention, executed by the ASSIGNOR(S) concurrently with this assignment.  
☐ U.S. patent application Serial No. \_\_\_\_\_, filed \_\_\_\_\_  
☐ U.S. patent No. \_\_\_\_\_, issued \_\_\_\_\_

The PATENT RIGHTS also include all divisions, reissues, continuations and extensions of the patents and patent applications identified above.

The PATENT RIGHTS assigned under this agreement are:

- (check one) ☒ U.S. patent rights only.  
☐ worldwide patent rights. In this case, the assignee shall have the right to claim the benefit of the filing date of any U.S. patent application identified above.

The ASSIGNOR(S) referred to in this agreement is (or are):

(Full name of sole or first inventor) Ming-Kwei LEE  
(Address) 4F-4, No. 171, Pi-Chung St., Yen-Cheng Dist., Kaohsiung City, Taiwan

(Full name of second joint inventor, if any) \_\_\_\_\_

(Address) \_\_\_\_\_

(Full name of third joint inventor, if any) \_\_\_\_\_

(Address) \_\_\_\_\_

The ASSIGNEE referred to in this agreement is:

(Name of Assignee) CHIA TA WORLD CO., LTD.

(Address of assignee) No. 16, Lane 317, Chung-Shan N. Rd., Yung-Kang City, Tainan Hsien, Taiwan

The ASSIGNEE is:

- (check one) ☐ An Individual.  
☐ A Partnership.  
☒ A Corporation of Taiwan

☐ \_\_\_\_\_

(state or country)

The ASSIGNOR(S), in consideration of \$1.00 paid by the ASSIGNEE, and other good and valuable consideration, receipt of which is acknowledged, have and do hereby assign the following to the ASSIGNEE; its successors and assigns:

the full and exclusive right to the invention;

the entire right, title and interest in and to the PATENT RIGHTS; and

the right to claim priority under 35 USC 119, based on any earlier foreign applications for this invention.

As to all U.S. patent applications assigned under this agreement, the ASSIGNOR(S) hereby authorize(s) and request(s) the Commissioner of Patents and Trademarks to issue all Letters Patent to the ASSIGNEE as the assignee of the entire right, title and interest, for the sole use and enjoyment of said ASSIGNEE, its successors and assigns.

Further, the ASSIGNOR(S) agree(s) to communicate to said ASSIGNEE, or its representatives, any facts known to the ASSIGNOR(S) respecting said invention, and testify in any legal proceedings, sign all lawful papers, execute all divisional, continuation, substitute, renewal, reexamination and reissue applications, execute all necessary assignment papers to cause any and all Letters Patent to be issued to said ASSIGNEE, make all rightful oaths and generally do everything necessary or desirable to aid said ASSIGNEE, its successors and assigns, to obtain and enforce proper protection for said invention.

Ming-Kwei Lee

(Signature of sole or first inventor)

Jan. 4, 2002

(Date)

(Signature of second inventor, if any)

(Date)

(Signature of third inventor, if any)

(Date)